



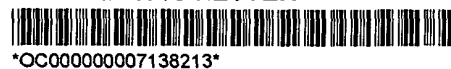
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/736,968	12/13/2000	Peter S. Lu	20054000611

CONFIRMATION NO. 8280

FORMALITIES LETTER



Andrew T. Serafini, Ph.D.
TOWNSEND and TOWNSEND and CREW LLP
8th Floor
Two Embarcadero Center
San Francisco, CA 94111-3834

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APR 02 2002

TECH CENTER 1600/2900

Date Mailed: 11/29/2001

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked-up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

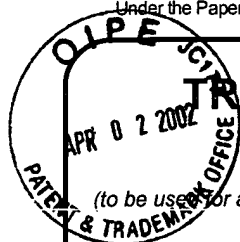
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

1

Application Number

09/736,968

Filing Date

December 13, 2000

First Named Inventor

Lu, Peter S.

Group Art Unit

1646

Examiner Name

Not yet assigned

Attorney Docket Number

020054-000611US

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ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☐ Fee Attached

☒ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☒ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/
Incomplete Application

☐ Response to Missing
Parts under 37 CFR
1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69)
and Accompanying Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to
Group

☐ Appeal Communication to Board of
Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)
(please identify below):

Return Postcard

Documents as noted below.

Remarks

The Commissioner is authorized to charge any additional fees to
Deposit Account 20-1430.

Copy of Notice to Comply with Requirements for Patent Applications Containing
Nucleotide Sequence and/or Amino Acid Sequence Disclosures

Copy of Raw Sequence Listing Error Report

Substitute Sequence Listing (in paper format)

Sequence Listing (in CFR)

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
and
Individual name

Townsend and Townsend and Crew LLP

Andrew T. Serafini, Ph.D

Reg. No. 41,303

Signature

Date

March 25, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

March 25, 2002

Typed or printed name

Kathy Johnston

Signature

Date

March 25, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
PA 3208695 v1

FREE TRANSMITTAL **for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 200

Complete if Known

Application Number 09/736,968
Filing Date December 13, 2000
First Named Inventor Lu, Peter S.
Examiner Name Not yet assigned
Group Art Unit 1646
Attorney Docket No. 020054-000611US

TECH CENTER 1600/2900

APR 05 2002

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METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number 20-1430
- Deposit Account Name Townsend and Townsend and Crew LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ **Payment Enclosed:**
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20**	=	X	=
Independent Claims	-3**	=	X
Multiple Dependent		X	=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	400	216	200	Extension for reply within second month
117	920	217	460	Extension for reply within third month
118	1,440	218	720	Extension for reply within fourth month
128	1,960	228	980	Extension for reply within fifth month
119	320	219	160	Notice of Appeal
120	320	220	160	Filing a brief in support of an appeal
121	280	221	140	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,280	241	640	Petition to revive - unintentional
142	1,280	242	640	Utility issue fee (or reissue)
143	460	243	230	Design issue fee
144	620	244	310	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Petitions related to provisional applications
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))
179	740	279	370	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify)

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$200)

**or number previously paid, if greater; For Reissues, see above

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) Andrew T. Serafini, Ph.D. Registration No. (Attorney/Agent) 41,303 Telephone 650-326-2400
Signature [Signature] Date March 25, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

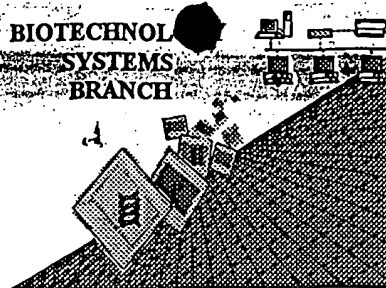
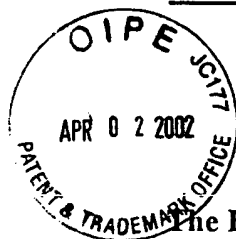
Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231. PA 3208690 v1

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SYSTEMS
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62070
1023

RAW SEQUENCE LISTING
ERROR REPORT



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The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

APR 02 2002

Application Serial Number: 09/736,968 TECH CENTER 1600/2900

Source: OIPE

Date Processed by STIC: 10/30/2001

COPY

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.

PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.

PATENTIN 2.1 e-mail help: patin21help@uspto.gov or phone 703-306-4119 (R. Wax)

PATENTIN 3.0 e-mail help: patin3help@uspto.gov or phone 703-306-4119 (R. Wax)

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 3.0 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW:

Checker Version 3.0

The Checker Version 3.0 application is a state-of-the-art Windows based software program employing a logical and intuitive user-interface to check whether a sequence listing is in compliance with format and content rules. Checker Version 3.0 works for sequence listings generated for the original version of 37 CFR §§1.821 - 1.825 effective October 1, 1990 (old rules) and the revised version (new rules) effective July 1, 1998 as well as World Intellectual Property Organization (WIPO) Standard ST.25.

Checker Version 3.0 replaces the previous DOS-based version of Checker, and is Y2K-compliant. Checker allows public users to check sequence listings in Computer Readable form (CRF) before submitting them to the United States Patent and Trademark Office (USPTO). Use of Checker prior to filing the sequence listing is expected to result in fewer errored sequence listings, thus saving time and money.

Checker Version 3.0 can be down loaded from the USPTO website at the following address:

<http://www.uspto.gov/web/offices/pac/checker>

OIPE

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/736,968

DATE: 10/30/2001

TIME: 11:19:58

Input Set : A:\-6-1-1.app

Output Set: N:\CRF3\10302001\I736968.raw

Does Not Comply
Corrected Diskette Needed

OK->

3 <110> APPLICANT: Lu, Peter
 4 Garman, Jonathan David
 5 Candia III, Albert Frederick
 6 Arbor Vita Corporation
 8 <120> TITLE OF INVENTION: CLASP-7 Transmembrane Protein
 10 <130> FILE REFERENCE: 020054-000611US
 12 <140> CURRENT APPLICATION NUMBER: US 09/736,968
 13 <141> CURRENT FILING DATE: 2001-10-12
 15 <150> PRIOR APPLICATION NUMBER: US 60/160,860
 16 <151> PRIOR FILING DATE: 1999-10-21
 18 <150> PRIOR APPLICATION NUMBER: US 60/162,498
 19 <151> PRIOR FILING DATE: 1999-10-29
 21 <150> PRIOR APPLICATION NUMBER: US 60/170,453
 22 <151> PRIOR FILING DATE: 1999-12-13
 24 <150> PRIOR APPLICATION NUMBER: US 60/176,195
 25 <151> PRIOR FILING DATE: 2000-01-14
 27 <150> PRIOR APPLICATION NUMBER: US 60/182,296
 28 <151> PRIOR FILING DATE: 2000-02-14
 30 <150> PRIOR APPLICATION NUMBER: US 09/547,276
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 58 <151> PRIOR FILING DATE: 2000-10-13
 60 <160> NUMBER OF SEQ ID NOS: 115
 62 <170> SOFTWARE: PatentIn Ver. 2.1

pg 2-4

ERRORED SEQUENCES

1060 <210> SEQ ID NO: 7
 1061 <211> LENGTH: 9
 1062 <212> TYPE: PRT

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/736,968

DATE: 10/30/2001

TIME: 11:19:58

Input Set : A:\-6-1-1.app

Output Set: N:\CRF3\10302001\I736968.raw

1063 <213> ORGANISM: Artificial Sequence
 1065 <220> FEATURE:
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 1067 conserved non-tyrosine containing region from
 1068 motif E
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 1079 <223> OTHER INFORMATION: Xaa = any amino acid
 1081 <220> FEATURE:
 1082 <221> NAME/KEY: MOD_RES
 1083 <222> LOCATION: (7)
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 1085 Glu or Gln
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 1088 <221> NAME/KEY: MOD_RES
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 1090 <223> OTHER INFORMATION: Xaa = any amino acid
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 W--> 1092 <212> TYPE:
 W--> 1092 <213> ORGANISM:
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 1094 1 5
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 1109 <222> LOCATION: (2)..(4)
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 1115 <223> OTHER INFORMATION: Xaa = conservative amino acid substitution, Gln or
 E--> 1116 Asn
 1118 <220> FEATURE:
 1119 <221> NAME/KEY: MOD_RES

*more up;
 otherwise,
 considered
 - error*

ignore - these are due to above error

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 TECH CENTER 1600/2900

more up

RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/736,968

DATE: 10/30/2001

TIME: 11:19:58

Input Set : A:\-6-1-1.app

Output Set: N:\CRF3\10302001\I736968.raw

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1121 <223> OTHER INFORMATION: Xaa = any amino acid

W--> 1123 <210> SEQ ID NO:

W--> 1123 <211> LENGTH:

W--> 1123 <212> TYPE:

W--> 1123 <213> ORGANISM:

1123 <400> SEQUENCE: 8

OK 1124 Leu Xaa Met Xaa Leu Xaa Gly Xaa Val Xaa Xaa Xaa Val Asn Xaa Gly

1125 1

5

10

15

see p 4 for more errors

09/736,968 4

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<211> 2047
<212> PRT

<213> Homo sapiens
<223> full length human CLASP-7

→ <220> insert this mandatory
numeric
identifier
whenever

<400> 2
Met Ala Ala Ser Glu Arg Arg Ala Phe Ala His Lys Ile Asn Arg Thr
1 5 10 15

<2217, <2227, or
<2237 is shown

The types of errors shown exist throughout
the Sequence Listing. Please check subsequent
sequences for similar errors.

Use of n and/or Xaa has been detected in the Sequence Listing
Review the Sequence Listing to insure a corresponding
replacement is provided in the <220> to <223> fields of
each sequence using n or Xaa.

FBI

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VERIFICATION SUMMARY

PATENT APPLICATION: US/09/736,968

DATE: 10/30/2001

TIME: 11:20:00

Input Set : A:\-6-1-1.app

Output Set: N:\CRF3\10302001\I736968.raw

L:13 M:271 C: Current Filing Date differs, Replaced Current Filing Date
L:1036 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:5
L:1056 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:6
L:1074 M:252 E: No. of Seq. differs, <211>LENGTH:Input:9 Found:1 SEQ:7
L:1092 M:282 W: Numeric Field Identifier Missing, <210> is required.
L:1092 M:282 W: Numeric Field Identifier Missing, <211> is required.
L:1092 M:282 W: Numeric Field Identifier Missing, <212> is required.
L:1092 M:282 W: Numeric Field Identifier Missing, <213> is required.
L:1116 M:252 E: No. of Seq. differs, <211>LENGTH:Input:16 Found:1 SEQ:8
L:1123 M:282 W: Numeric Field Identifier Missing, <210> is required.
L:1123 M:282 W: Numeric Field Identifier Missing, <211> is required.
L:1123 M:282 W: Numeric Field Identifier Missing, <212> is required.
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